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U.S.PTO

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PTO/SB/05 (2/98)

**UTILITY  
PATENT APPLICATION  
TRANSMITTAL**

(Only for nonprovisional applications under 37 CFR § 1.53(b))

Attorney Docket No. **SUZU1220**First Inventor or Application Identifier **Shigehiro Asano, et al.**Title **SYSTEMS AND METHODS FOR BANDWIDTH SHAPING**Express Mail Label No. **EV351127984US**SPTO  
107616  
2390**APPLICATION ELEMENTS**

See MPEP chapter 600 concerning utility patent application contents.

**ADDRESS TO:****Mail Stop Patent Application**Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

1.  Fee Transmittal for FY 2004  
(Submit an original and a duplicate for fee processing)

2.  Specification [Total Pages] **46**
  - Descriptive Title of the Invention
  - Cross References to Related Applications
  - Background of the Invention
  - Summary of the Invention
  - Brief Description of the Drawings (if filed)
  - Description of Preferred Embodiments
  - References
  - Claim(s)
  - Abstract of the Disclosure

3.  Drawing(s) (35 USC 113) [Total Sheets] **5**

4.  Oath or Declaration [Total Pages] **2**
  - a.  Newly executed / (original or copy)
  - b.  Copy from a prior application (37 CFR 1.63(d))  
(for continuation/divisional with Box 17 completed)
    - i.  DELETION OF INVENTOR(S)  
Signed statement attached deleting inventor(s) named in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b)
5.  Incorporation By Reference (useable if box 4b is checked). The entire disclosure of the prior application, from which a copy of the oath or declaration is supplied under Box 4b, is considered to be part of the disclosure of the accompanying application and is hereby incorporated by reference therein.

6.  Microfiche Computer Program (Appendix)

7.  Nucleotide and Amino Acid Sequence Submission  
(if applicable, all necessary)
  - a.  Computer-Readable Copy
  - b.  Paper Copy (identical to computer copy)
  - c.  Statement verifying identity of above copies

**ACCOMPANYING APPLICATION PARTS**

8.  Assignment Papers (cover sheet & document(s))
9.  37 CFR 3.73(b) Statement  Power of Attorney  
(when there is an assignee)
10.  English Translation Document (if applicable)
11.  Information Disclosure Statement (IDS)/PTO-1449  Copies of IDS Citations
12.  Preliminary Amendment
13.  Return Receipt Postcard
14.  Small Entity  Statement filed in prior application, Status still proper and desired
15.  Certified Copy of Priority Document(s)  
(if foreign priority is claimed)
16.  Other: **Certificate of Mailing; Filing Fee**

17. If a CONTINUING APPLICATION, check appropriate box and supply the requisite information below and in a preliminary amendment

Continuation     Divisional     Continuation-In-Part (CIP)    of prior Application No.: \_\_\_\_\_

Prior application information: Examiner \_\_\_\_\_ Group / Art Unit \_\_\_\_\_

Claims the benefit of Provisional Application No. \_\_\_\_\_

**CORRESPONDENCE ADDRESS:**

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SIGNATURE

**REGISTRATION NO. 35,066****DATE: January 26, 2004**

15866

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U.S. PTO

# FEE TRANSMITTAL for FY 2004

Effective 01/01/2003. Patent fees are subject to annual revision.

 Applicant claims small entity status. See 37 CFR 1.27TOTAL AMOUNT OF PAYMENT (\$)  
**1116.00**

## Complete if Known

|                      |                                |
|----------------------|--------------------------------|
| Application Number   | <b>Unknown</b>                 |
| Filing Date          | <b>January 26, 2004</b>        |
| First Named Inventor | <b>Shigehiro Asano, et al.</b> |
| Examiner Name        | <b>Unknown</b>                 |
| Art Unit             | <b>Unknown</b>                 |
| Attorney Docket No.  | <b>SUZU1220</b>                |

## METHOD OF PAYMENT (check all that apply)

 Check    Credit Card    Money Order    Other    None

Deposit Account Number

**50-0456**

Deposit Account Name

**Gray Cary Ware & Freidenrich LLP**

The Commissioner is authorized to: (check all that apply)

- Charge (fees) indicated below.    Credit any overpayments  
 Charge any additional fee(s) during the pendency of this application  
 Charge fee(s) indicated below, except for filing fee  
 to the above-identified deposit account.

## FEE CALCULATION

## 1. BASIC FILING FEE

| Large Entity             |          | Small Entity |          | Fee Paid               |
|--------------------------|----------|--------------|----------|------------------------|
| Fee Code                 | Fee (\$) | Fee Code     | Fee (\$) |                        |
| 1001                     | 750      | 2001         | 375      | Utility filing fee     |
| 1002                     | 330      | 2002         | 165      | Design filing fee      |
| 1003                     | 520      | 2003         | 260      | Plant filing fee       |
| 1004                     | 750      | 2004         | 375      | Reissue filing fee     |
| 1005                     | 160      | 2005         | 80       | Provisional filing fee |
| <b>SUBTOTAL (1) (\$)</b> |          |              |          |                        |
| <b>770.00</b>            |          |              |          |                        |

## 2. EXTRA CLAIM FEES FOR UTILITY AND REISSUE

| Total Claims       | Extra Claims |         | Fee from below | Fee Paid |    |   |          |
|--------------------|--------------|---------|----------------|----------|----|---|----------|
|                    | 37           | -20** = | 17             | X        | 18 | = | \$306.00 |
| Independent Claims | 3            | -3** =  | 0              | X        | 86 | = | \$0.00   |
| Multiple Dependent |              |         | X              |          |    | = |          |

| Large Entity             |          | Small Entity |          | Fee Description  |
|--------------------------|----------|--------------|----------|--|
| Fee Code                 | Fee (\$) | Fee Code     | Fee (\$) |  |
| 1202                     | 18       | 2202         | 9        | Claims in excess of 20                                     |
| 1201                     | 84       | 2201         | 42       | Independent claims in excess of 3                          |
| 1203                     | 280      | 2203         | 140      | Multiple dependent claim, if not paid                      |
| 1204                     | 84       | 2204         | 42       | ** Reissue independent claims over original patent         |
| 1205                     | 18       | 2205         | 9        | ** Reissue claims in excess of 20 and over original patent |
| <b>SUBTOTAL (2) (\$)</b> |          |              |          |  |
| <b>306.00</b>            |          |              |          |  |

\*\*or number previously paid, if greater; For Reissues, see above

## FEE CALCULATION (continued)

## 3. ADDITIONAL FEES

Large Entity   Small Entity

| Fee Code | Fee (\$) | Fee Code | Fee (\$) | Fee Description  | Fee Paid |
|----------|----------|----------|----------|--|----------|
| 1051     | 130      | 2051     | 65       | Surcharge - late filing fee or oath  |          |
| 1052     | 50       | 2052     | 25       | Surcharge - late provisional filing fee or cover sheet                     |          |
| 1053     | 130      | 1053     | 130      | Non-English specification  |          |
| 1812     | 2,520    | 1812     | 2,520    | For filing a request for ex parte reexamination                            |          |
| 1804     | 920*     | 1804     | 920*     | Requesting publication of SIR prior to Examiner action                     |          |
| 1805     | 1,840*   | 1805     | 1,840*   | Requesting publication of SIR after Examiner action                        |          |
| 1251     | 110      | 2251     | 55       | Extension for reply within first month                                     |          |
| 1252     | 410      | 2252     | 205      | Extension for reply within second month                                    |          |
| 1253     | 930      | 2253     | 465      | Extension for reply within third month                                     |          |
| 1254     | 1,450    | 2254     | 725      | Extension for reply within fourth month                                    |          |
| 1255     | 1,970    | 2255     | 985      | Extension for reply within fifth month                                     |          |
| 1401     | 320      | 2401     | 160      | Notice of Appeal   |          |
| 1402     | 320      | 2402     | 160      | Filing a brief in support of an appeal                                     |          |
| 1403     | 280      | 2403     | 140      | Request for oral hearing   |          |
| 1451     | 1,510    | 1451     | 1,510    | Petition to institute a public use proceeding                              |          |
| 1452     | 110      | 2452     | 55       | Petition to revive – unavoidable   |          |
| 1453     | 1,300    | 2453     | 650      | Petition to revive – unintentional   |          |
| 1501     | 1,300    | 2501     | 650      | Utility issue fee (or reissue)   |          |
| 1502     | 470      | 2502     | 235      | Design issue fee   |          |
| 1503     | 630      | 2503     | 315      | Plant issue fee  |          |
| 1460     | 130      | 1460     | 130      | Petitions to the Commissioner  |          |
| 1807     | 50       | 1807     | 50       | Processing fee under 37 CFR 1.17(q)  |          |
| 1806     | 180      | 1806     | 180      | Submission of Information Disclosure Stmt                                  |          |
| 8021     | 40       | 8021     | 40       | Recording each patent assignment per property (times number of properties) | 40.00    |
| 1809     | 750      | 2809     | 375      | Filing a submission after final rejection (37 CFR § 1.129(a))              |          |
| 1810     | 750      | 2810     | 375      | For each additional invention to be examined (37 CFR § 1.129(b))           |          |
| 1801     | 750      | 2801     | 375      | Request for Continued Examination (RCE)                                    |          |
| 1802     | 900      | 1802     | 900      | Request for expedited examination of a design application                  |          |

Other fee (specify)

\* Reduced by Basic Filing Fee Paid

SUBTOTAL (3) (\$)  
**40.00**

## SUBMITTED BY

Complete( if applicable)

|                   |   |                                   |               |           |                         |
|-------------------|---|-----------------------------------|---------------|-----------|-------------------------|
| Name (Print/Type) | <b>Mark L. Berrier</b>  | Registration No. (Attorney/Agent) | <b>35,066</b> | Telephone | <b>512-457-7016</b>     |
| Signature         |  |                                   |               | Date      | <b>January 26, 2004</b> |

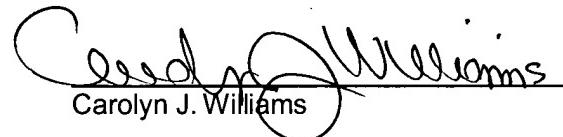
WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

This collection of information is required by 37 CFR 1.17 and 1.27. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, Washington, DC 20231.

|   |  |
|---|--|
| <b>IN THE UNITED STATES PATENT AND TRADEMARK OFFICE</b>   |  |
| <b>CERTIFICATE OF MAILING BY "EXPRESS MAIL"</b>   |  |
|   | Atty Docket No. (Optional)<br><b>SUZU1220</b>              |
| <b>Mail Stop Patent Application</b><br>Commissioner for Patents<br>P.O. Box 1450<br>Alexandria, VA 22313-1450 | In the Application of:<br><b>Shigehiro Asano, et al.</b>   |
|   | Date Filed:<br><b>January 26, 2004</b>                     |
|   | Title:<br><b>Systems and Methods for Bandwidth Shaping</b> |
| Sir:  |  |

I hereby certify that the attached Utility Patent Application Transmittal Form, Fee Transmittal, executed Declaration and Power of Attorney, executed Assignment and Recordation Cover Sheet, Utility Patent Application, five (5) pages of Drawings, Information Disclosure Statement (with reference A1), Checks and Postcard are being deposited with the United States Postal Service "EXPRESS MAIL Post Office to Addressee" service under 37 C.F.R. § 1.10, Mailing Label Certificate No. **EV351127984US**, on **January 26, 2004** addressed to: **Mail Stop Patent Application**, Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

Respectfully submitted,  
**Gray Cary Ware & Freidenrich LLP**



Carolyn J. Williams